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# Administrative instruction

## Staff selection system

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The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/1997/1 and to implement changes to the staff selection system, promulgates the following:

**Section 1**
**Definitions**

The following definitions apply for the purposes of the present instruction:

*Anticipated vacancies*: vacancies relating to posts due to become available in the next six to nine months, such as on the retirement of the incumbent or the completion of the maximum post occupancy period.

*Central review bodies*: joint bodies established by ST/SGB/2002/6 under staff rule 104.14 to approve evaluation criteria and to ensure that candidates have been evaluated on the basis of such pre-approved evaluation criteria and/or that the applicable procedures have been followed.

*Documented record*: record consisting of written, printed or electronic material that provides information or evidence.

*Evaluation criteria*: criteria used for the evaluation of candidates for a particular position after approval by a central review body. Evaluation criteria must be objective and related to the functions of the post and must reflect the relevant competencies.

*Generic job profile*: classified standard job description that encompasses a large group of related jobs for which major characteristics of the job are similar in duties and responsibilities, education, work experience, technical skills and essential core competencies.

*Geographic status*: status given to staff in the Professional category and above on initial recruitment for one year or longer against a post subject to "equitable geographical distribution" and to the application of the system of desirable ranges, namely, a regular budget post in the Secretariat at the Professional level or above (except language posts up to P-5). All successful candidates in a national competitive recruitment examination also receive "geographic status". Once geographic status has been given, it remains throughout the period of service of the staff member, regardless of the nature of the post or functions to which the staff member may subsequently be assigned.

*Head of department/office*: official appointed to head a department, office, regional commission or other major organizational unit of the Secretariat who is directly accountable to the Secretary-General in the exercise of the functions set out in section 5 of ST/SGB/1997/5 (as amended by ST/SGB/2002/11).[1]

*Immediate vacancies*: vacancies relating to posts that have become available unexpectedly, such as, upon separation from service in cases other than retirement or the selection of the incumbent for other functions.

*Internal candidates*: staff members currently serving under a 100 series appointment who have been recruited after a competitive examination under staff rule 104.15 or after the advice of a Secretariat joint body under staff rule 104.14.

[1] As may be replaced by a new bulletin on the subject.

Staff whose appointment is limited to service in a particular department or office are not considered internal candidates.

*Lateral move*: move to a different position at the same level for a duration of at least one year. The new position may be in the same or a different department or office, in the same or a different duty station and in the same or a different occupational group. Inter-agency loans or other movements to and from other organizations of the United Nations common system are recognized as "lateral moves". There will be a lateral move when a staff member assumes a new position in another department or office, in another duty station, in another occupational group or in another organization of the United Nations common system. Within the same department or office, a lateral move will normally involve a change of supervisor. When the supervisor remains the same, there will be a lateral move if the responsibilities are substantially different, for example, if there is a different area of responsibilities or a change in the departments/offices serviced by the staff member. Mission detail, or other temporary assignments of at least three months but less than one year with or without special post allowance (SPA), shall also qualify as a lateral move when the cumulative duration of such assignments reaches one year.

*Occupational networks*: a grouping of departments/offices with closely linked mandates or programmes and a common interest in collaborating in areas such as human resources planning, staff development and mobility.

*Post occupancy period*: period of time that a staff member may serve in a particular post, as determined in accordance with section 4.2 (d) below.

*Programme manager*: official within a department/office who is responsible for assisting the head of the department/office in ensuring the delivery of mandated activities by effectively and efficiently managing staff and resources placed under his or her supervision and for discharging the other functions listed in section 6 of ST/SGB/1997/5 (as amended by ST/SGB/2002/11).

*Roster*: list of candidates who have been endorsed by a central review body for a particular vacancy but not selected for it, and who have indicated an interest in being considered for selection for a future vacancy with similar functions at the same level. Roster candidates may be selected without referral to a central review body. The roster is valid for one year.

*Temporarily vacant post*: post blocked for a specific period of time for the return of a staff member on mission detail, special leave, secondment, temporary assignment or loan.

*Vacant post*: post approved for one year or longer that is not blocked for the return of a staff member on mission detail, special leave, secondment, temporary assignment or loan.

**Section 2**
**General provisions**

2.1 The present instruction establishes a new staff selection system (the "system"), which integrates the recruitment, placement, promotion and mobility of staff.

2.2 All staff, up to and including those at the D-2 level, are expected to move periodically to new functions throughout their careers. To facilitate and regulate mobility, the system provides for the circulation of all vacancies and anticipated

mission needs through a compendium,[2] defines maximum periods of occupancy of posts,[3] requires that vacancies be made available in the first instance for lateral moves of eligible staff before other candidates may be considered for selection[4] and specifies the lateral mobility requirement applicable before a staff member may be promoted to the P-5 level.[5]

2.3 Selection decisions are made by the head of department/office when the central review body is satisfied that the evaluation criteria have been properly applied and that the applicable procedures were followed. If a list of qualified candidates has been approved, the head of department/office may select any one of those candidates for the advertised vacancy, subject to the provisions contained in section 9.2 below. The other candidates shall be placed on a roster of pre-approved candidates from which they may be considered for future vacancies with similar functions.

2.4 Heads of departments/offices retain the authority to transfer staff members within their departments or offices to vacant posts at the same level.

2.5 This instruction sets out the procedures applicable from the beginning to the end of the staff selection process. For ease of reference, the responsibilities of those concerned are summarized in the annexes, focusing on the head of department/office (annex I), the programme manager (annex II), the staff member/applicant (annex III) and the Office of Human Resources Management (OHRM), executive offices and local personnel offices (annex IV).

**Section 3**
**Scope**

3.1 The system shall apply to staff members to whom the Organization has granted or proposes to grant an appointment of one year or longer under the 100 series of the Staff Rules. The process leading to appointment or promotion to the D-2 level shall be governed by the provisions of the present instruction, except that the functions normally discharged by a central review body[6] shall be discharged by the Senior Review Group,[7] prior to selection by the Secretary-General.

3.2 The system shall not apply to the following:

(a) Appointment of staff selected through a competitive examination under staff rule 104.15, in accordance with the principle that staff are recruited exclusively through competitive examination at the P-1 and P-2 levels and normally through competitive examination at the P-3 level;

(b) Movement of staff subsequent to recruitment under the provisions of the administrative instruction on managed reassignment for junior Professionals;[8]

(c) Movement during the first five years of service of staff serving against a P-2 or P-3 language post who are subject to the provisions of the administrative

[2] See section 4 below.
[3] See section 4.2 (d) below.
[4] See section 7.1 below.
[5] See section 5.2 below.
[6] ST/SGB/2002/6, as may be amended or replaced by a bulletin on the same subject.
[7] ST/SGB/2005/4, as may be amended or replaced by a bulletin on the same subject.
[8] ST/AI/2001/7, as may be amended or replaced by a new instruction on the same subject.



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instruction setting out special conditions for recruitment or placement of candidates successful in a competitive examination for posts requiring special language skills;[9]

(d) Recruitment of staff from the General Service and related categories to the Professional category;[10]

(e) Appointment at the entry level and promotion of staff in the General Service and related categories up to the G-4, TC-3 and S-2 levels;[11]

(f) Appointment and movement of staff selected for field mission posts and the appointment of Professional staff for mission replacement posts when the temporary vacancy resulting from the mission detail cannot be filled through temporary reassignment from within the office;

(g) Appointment of staff selected to serve in the Executive Office of the Secretary-General or to serve as special envoys of the Secretary-General;

(h) Movement of staff previously appointed under the 100 series in accordance with staff rules 104.14 or 104.15 who have agreed to participate in voluntary reassignment programmes. The Assistant Secretary-General for Human Resources Management shall decide on the reassignment of each staff member, without reference to a central review body. The programmes, aiming to stimulate mobility of staff, are strictly voluntary. Such movement shall be limited to incumbents of posts approved for inclusion in a voluntary lateral reassignment programme and shall not affect the application of the normal rules governing promotion or selection of staff for vacant posts.

3.3 Heads of departments/offices who have been delegated authority to appoint and promote staff for service limited to the entity concerned are encouraged to opt for the full application of the new system for upcoming vacancies, in which case the appointment of the individual selected as a result would not, or would no longer be, limited to service with the entity concerned.[12] Should the head of department/office exercise this option, the case would be considered by a Secretariat central review body and would be referred to the Secretary-General for decision if the central review body found that the evaluation criteria had not been properly applied and/or that the applicable procedures had not been followed.

**Section 4**
**Compendium of vacancies — preparation of evaluation criteria**

4.1 A compendium of vacancies shall be issued to encourage mobility of staff and to inform staff members and outside candidates of immediate and anticipated vacancies as well as of anticipated field mission needs. The compendium shall be

[9] ST/AI/2000/1 (amended by ST/AI/2003/1), as may be replaced by a new instruction on the same subject.

[10] ST/AI/2003/7 (amended by ST/AI/2005/9), as may be replaced by a new instruction on the same subject.

[11] A separate administrative instruction will be issued for the recruitment and promotion of staff up to the G-4, S-2 and TC-3 levels.

[12] This would not necessarily, however, confer geographic status on the staff members concerned, as such status results from initial recruitment after successfully passing a competitive examination (other than a language examination) or from initial appointment for one year or longer to a post subject to the application of the system of desirable ranges.

published electronically and updated daily in its electronic version. It shall also be issued once a month in print form.

4.2 Posts approved for one year or longer shall be included in the compendium when:

(a) A new post is established or an existing post is reclassified upwards;

(b) The incumbent separates from service;

(c) The incumbent is selected for other functions under the provisions of this instruction or as a result of a lateral reassignment by the head of department/office within that department or office;

(d) The incumbent has completed the maximum period of occupancy of the post, which will generally be five years for posts up to and including the P-5 level and six years for posts above that level. Longer or shorter maximum periods may be set by the Assistant Secretary-General for Human Resources Management for specific posts, in consultation with the head of the department/office concerned. Longer periods may be appropriate when the potential for mobility is severely limited due to the nature of the functions or the scarcity of posts.

4.3 The programme manager shall be responsible for promptly requesting the inclusion of immediate or anticipated vacancies in the compendium, with the assistance of the executive or local personnel office. The vacancy announcement shall include the qualifications, skills and competencies required and reflect the classified functions of the post, using to the greatest possible extent the database of generic job profiles maintained by OHRM. If no generic job profile is available, a previously classified individual job description may be used unless the functions have changed significantly, in which case the programme manager must obtain a new classification before requesting inclusion of the vacancy in the compendium.

4.4 At the same time as he or she prepares the vacancy announcement, the programme manager shall prepare for subsequent review by the appropriate central review body the criteria to be used in evaluating candidates unless a central review body has previously approved the evaluation criteria for a position with similar functions at the same level. The evaluation criteria must be objective and related to the functions of the post and must reflect the relevant competencies.

4.5 Each vacancy shall indicate the date of posting and specify a deadline by which all applications must be received. The deadline for vacancies at the Professional level and above shall normally be 60 calendar days after posting, unless, as may be done for particular cases of unanticipated vacancies, OHRM has exceptionally approved a 30-day deadline. The deadline for vacancies in the General Service and related categories shall normally be 30 calendar days after posting, unless it has been established to the satisfaction of OHRM or the local personnel office that there are no suitable internal candidates at the duty station, in which case the deadline shall be 60 calendar days after posting. Staff members are encouraged to submit their applications as early as possible, because staff fulfilling the eligibility requirements set out in section 5.4 shall be considered 15 calendar days after posting, and those fulfilling the eligibility requirements set out in section 5.5 shall be considered 30 calendar days after posting.

4.6 The mobility requirement pertaining to post occupancy limits during the period of service of staff representatives shall be deferred for the Chair/President/Executive

Secretary of the executive body of a staff association, whether on full or part-time release, as well as for every staff representative on full-time release for at least one year, subject to the maximum limit set by the General Assembly on full or part-time continuous release. Such staff representatives will be considered to have made one lateral move, provided they have served for at least one year.

**Section 5**
**Eligibility requirements**

5.1 Eligibility requirements regarding time-in-grade or time-in-post that were formerly in use shall no longer be applicable. However, experience, knowledge and institutional memory relevant to the functions must be considered as the personal contribution of the candidate to the achievement of the goals of the Organization and as such are an important element of the selection process.

5.2 Staff members shall not be eligible to be considered for promotion to posts more than one level higher than their personal grade.

5.3 Staff members in the Professional category shall have at least two prior lateral moves, which may take place at any level in that category, before being eligible to be considered for promotion to the P-5 level, subject to the following provisions:

(a) In order to meet the General Assembly's concern about high vacancy rates in some regional commissions and duty stations, particularly those in developing countries, the requirement shall be reduced to one lateral move when a staff member has served in the Professional category in Nairobi or a regional economic commission other than the Economic Commission for Europe for one year or longer, or when a staff member is applying for a P-5 position at those duty stations from another duty station;

(b) Staff recruited at the P-4 level shall become eligible for promotion to P-5 after one lateral move at the P-4 level;

(c) Cumulative service for a total period of one year or longer on mission or other temporary assignment with or without SPA shall also qualify as one lateral move.

*Eligibility for a lateral move at the 15-day mark*

5.4 The following staff members shall be eligible to be considered for a lateral move at the 15-day mark:

(a) Internal candidates whose appointment is not limited to service with a particular office may be considered for any vacancy at their level. Staff whose appointment is limited to service with a particular office may be considered for vacancies at their level in that office only. Staff in the Professional category and above who do not have geographic status may be considered for vacancies at their level at the 15-day mark in respect of posts that are not subject to geographical distribution;

(b) In addition, and in order to recognize and encourage mission service, the following candidates shall be eligible to be considered at the 15-day mark:

(i) Internal candidates on mission detail who have been in receipt of an SPA for at least one year in a field mission and who meet the requirements of

section 5.3, where applicable, may apply for a move to a non-mission post at the SPA level and be promoted to that level if selected, except for staff having received an SPA from the General Service to the Professional category;

(ii) Field Service officers at the FS-6 and FS-7 levels may be considered for a move to the P-3 and P-4 levels respectively, provided that they have served for one year at their current level and meet the academic qualifications required for an appointment to the Professional category.

*Eligibility to be considered at the 30-day mark*

5.5 The following staff members shall be eligible to be considered at the 30-day mark:

(a) For promotion against a post one level higher than the level of the staff member:

(i) Internal candidates whose appointment is not limited to service with a particular office may be considered for any post in the Secretariat;

(ii) Staff whose appointment is limited to service with a particular office may be considered for a higher-level post in that office only;

(iii) Staff in the Professional category and above who do not have geographic status may be considered for higher-level posts that are not subject to geographical distribution;

(iv) Field Service officers at the FS-6 and FS-7 levels may be considered for a post at the P-4 and P-5 levels respectively, provided they have served for one year at their current level and meet the academic qualifications required for an appointment to the Professional category and the requirements of section 5.3, where applicable;

(b) For promotion against a post one level higher than the level of the staff member, or appointment at the same level of staff who are not internal candidates but fall in the following categories:

(i) Staff appointed at the P-3 level under the 100 series of the Staff Rules to serve against peacekeeping support account posts at Headquarters or under the 100 or 300 series in peacekeeping or other field missions may be considered for vacancies at the P-4 level; staff appointed at the P-4 level under the same conditions may be considered for vacancies at the P-4 or P-5 levels, provided in each case that they have a continuous period of 12 months of service;

(ii) Women staff members who hold a current appointment of any type at the P-3/L-3 level may be considered for vacancies at the P-4 level; women staff members holding a current appointment of any type at the P-4/L-4 level may be considered for vacancies at the P-4 or P-5 level, provided in each case that they have been in the service of the Organization for a cumulative period of at least one year prior to application and meet the requirements of section 5.3, where applicable. The same shall apply to women serving with the other entities of the United Nations common system.

*Consideration at the 60-day mark or other specified deadline*

5.6 All candidates, including external candidates and staff whose appointment is limited to service with a particular office or staff who do not have geographic status, may be considered for any vacancy by the deadline indicated in the vacancy announcement. This provision, however, is subject to the following restrictions:

(a) Temporary staff who are appointed at the Professional level or above for less than one year under the 100 series of the Staff Rules and are placed on posts authorized for one year or longer may not apply for or be reappointed to their current post within six months of the end of their current service;

(b) Interns, consultants, individual contractors and gratis personnel may not apply for or be appointed to any post in the Secretariat within six months of the end of their current service. This restriction does not apply to associate experts appointed under the 200 series of the Staff Rules.

**Section 6**
**Applications**

6.1 Applications must be submitted in accordance with the instructions set out in the compendium, including use of the form provided. Wherever possible, applications should be submitted electronically.

6.2 Applications of candidates eligible to be considered at the 15-day mark but received before the 30-day mark shall nevertheless be transmitted for consideration to the department/office, provided that the head of department/office has not submitted to the central review body a proposal for one or more candidates eligible to be considered at the 15-day mark. Applications for a vacancy posted with a 60-day deadline from candidates eligible to be considered at the 30-day mark but received afterwards shall be transmitted with all the other applications received before the deadline.

6.3 All applications submitted online shall be acknowledged immediately, provided that the applicant supplies an e-mail address.

6.4 Staff members are encouraged to consider carefully all suitable vacancies in the compendium, as they are expected to move periodically to new positions. This is especially important for staff nearing the maximum occupancy period of the post they encumber.

6.5 Candidates may apply for several vacancies for which they feel qualified, and will be asked to indicate whether they wish to be considered for positions similar to those for which they are applying. Applying for a specific vacancy carries an undertaking to accept it, if offered.

6.6 At the time of application, staff members shall submit a copy of their last two performance appraisals. If there is a gap of six months or longer in the record of performance, or if no appraisal was completed within six months of the end of the preceding performance year, the staff member shall be deemed to have fully met performance expectations during the period for which there is no performance record or appraisal.

6.7 Applications shall be submitted to OHRM or the local personnel office, as indicated in the vacancy announcement. OHRM or the local personnel office shall

transmit electronically to the department/office concerned at the 15-, 30- and 60-day marks the applications of candidates eligible to be considered at each of those dates. At the same time, OHRM or the local personnel office shall transmit the roster of pre-approved candidates eligible to be considered at the 15-, 30- or 60-day mark, as set out in section 9.3.[13]

**Section 7**
**Consideration and selection**

7.1 In considering candidates, programme managers must give first priority to lateral moves of candidates eligible to be considered at the 15-day mark under section 5.4. If no suitable candidate can be identified at this first stage, candidates eligible at the 30-day mark under section 5.5 shall be considered. Other candidates shall be considered at the 60-day mark, where applicable.

7.2 In order to comply with the General Assembly's mandate to protect promotion prospects for staff recruited at the P-2 level through a competitive examination and to respect the principle that recruitment at the P-3 level is normally through competitive examination, consideration for vacancies at the P-3 level is subject to the following special rules:

(a) All internal candidates at the P-3 level applying for a lateral move at the 15-day mark, all internal candidates at the P-2 level applying for a promotion at the 30-day mark, as well as candidates from the National Competitive Examination roster at the P-2 and P-3 levels who are found by OHRM to possess the relevant professional experience must be fully considered against the applicable evaluation criteria. Such consideration must be supported by a documented record;

(b) Consideration of external candidates may take place only after the requirements under (a) have been met, subject to the provisions of section 9.2.

7.3 For positions in the General Service and related categories that are filled locally under staff rule 104.6, the recruitment of external candidates for posts at the G-5, S-3 and TC-4 levels and above shall be possible only after it has been established to the satisfaction of OHRM or the local personnel office concerned that there are no suitable internal candidates at the duty station.

7.4 The programme manager shall evaluate new candidates and roster candidates transmitted by OHRM or the local personnel office for consideration at the 15-, 30- or 60-day mark on the basis of criteria pre-approved by the central review body.

7.5 For candidates identified as meeting all or most of the requirements of the post, interviews and/or other appropriate evaluation mechanisms, such as written tests or other assessment techniques, are required. Competency-based interviews must be conducted in all cases of recruitment or promotion. Programme managers must prepare a reasoned and documented record of the evaluation of those candidates against the requirements and competencies set out in the vacancy announcement.

7.6 For each vacancy, the programme manager shall prepare a reasoned and documented record of the evaluation of the proposed candidates against the

[13] As the deadline for vacancies in the General Service and related categories is normally 30 days, except as provided in section 4.5, applications for such vacancies and the roster of pre-approved candidates will normally be transmitted at the 15- and 30-day marks only.

applicable evaluation criteria to allow for review by the central review body and/or decision by the head of the department/office.

7.7 Programme managers shall transmit their proposal for one candidate or, preferably, a list of qualified, unranked candidates to the appropriate central review body through the head of department/office after the 15-, 30- or 60-day mark. The head of department/office shall ensure that, in making the proposal, he or she has taken into account the Organization's human resources planning objectives and targets, especially with regard to geography and gender, and provide a certification to that effect to the central review body. There shall be no joint advisory body at the department or office level prior to the transmission of the proposal to the central review body.

7.8 Should an eligible roster candidate be suitable for the vacancy, the programme manager may recommend his or her immediate selection to the head of department/office, without reference to the central review body, as provided in section 9.4.

**Section 8**
**Central review bodies**

The central review bodies shall review the proposal for filling a vacancy made by the department/office concerned to ensure that candidates were evaluated on the basis of the pre-approved evaluation criteria and/or that the applicable procedures were followed, in accordance with sections 5.1 to 5.6 of ST/SGB/2002/6.

**Section 9**
**Decision**

9.1 The selection decision shall be made by the head of department/office when the central review body finds that the evaluation criteria have been properly applied and/or that the applicable procedures have been followed. The selection shall be made by the official having authority to make the decision on behalf of the Secretary-General when the central review body finds that the evaluation criteria were improperly applied and/or that the applicable procedures were not followed, in accordance with the provisions of section 5.6 of ST/SGB/2002/6. In all cases, the recommendations of the central review body shall be given due consideration. When the post to be filled involves significant functions in financial management, personnel management and general services administration, the executive or local personnel office shall inform OHRM of the proposed selection so that the approvals required by Secretary-General's bulletin ST/SGB/2005/7[14] may be obtained prior to selection.

9.2 When recommending the selection of a candidate to the head of department/office, the programme manager shall support such recommendation by a documented record. The head of department/office shall select the candidate he or she considers to be best suited for the functions, having taken into account the Organization's human resources objectives and targets as reflected in the departmental human resources action plan, especially with regard to geography and gender, and shall give the fullest regard to

[14] As may be amended or replaced by a new bulletin on the subject of designation of staff members performing significant functions in financial management, personnel management and general services administration.

candidates already in the service of the Organization. For posts in the Professional and higher categories subject to geographical distribution, if the head of department/office proposes to select an external candidate from an overrepresented Member State, the proposed selection decision must be justified to, and approved by, OHRM prior to selection of the candidate. If the head of a department/office who has not met the gender targets set out in the departmental action plan proposes to select a male candidate where an equally qualified female candidate exists, the proposed selection decision must be justified to, and approved by, OHRM. For vacancies at the P-3 level, prior to selection of an external candidate, that decision must be justified on the record to, and approved by, OHRM.

9.3 Candidates included in a list endorsed by a central review body other than the candidate selected for the specific position shall be placed on a roster of candidates pre-approved for similar functions, which shall be drawn from all duty stations for vacancies in the Professional category and above. The roster shall specify the candidates' eligibility for consideration at the 15-, 30- or 60-day mark, as appropriate. The roster shall be valid for one year after the first day of the month following the selection decision. In order to facilitate achievement of gender parity goals set by the General Assembly, female candidates shall remain on the roster for three years after the first day of the month following the selection decision.

9.4 Candidates included in the roster may be selected by the head of department/office for a subsequent vacancy, without reference to a central review body, after the programme manager has reviewed the applications of new candidates for a vacancy included in the compendium, together with the pre-approved roster candidates transmitted by OHRM or the local personnel office, subject to the provisions of section 9.2.

9.5 All interviewed candidates who are not selected or placed on the roster shall be so informed by the programme managers.

**Section 10**
**Notification and implementation of the decision**

10.1 The executive office at Headquarters and the local personnel office at offices away from Headquarters shall inform the selected candidate of the selection decision. The executive office shall inform OHRM of the decision at the same time. OHRM or the local personnel office shall place other candidates endorsed by the central review body on the roster, inform them of such placement and advise them that they may be selected from the roster for similar posts that may become available within the following year. Other candidates shall be advised of the outcome of the process through posting of the results on an electronic bulletin board.

10.2 The decision to select a candidate shall be implemented upon its official communication to the individual concerned. However, when an encumbered post has been included in the compendium after upward reclassification and an applicant other than the incumbent is selected, the decision shall be implemented only when a suitable post has been identified for the incumbent.

10.3 Candidates have the obligation to accept posts for which they have applied and have been selected, as provided for in section 6.5.

10.4 Selected staff members shall be released no later than two months after the date of the decision. If the selected candidate fails to take up the functions within two months for personal reasons or vacates the post within one year, the head of department/office may select another candidate from the list endorsed by the central review body with respect to the particular vacancy. If no such candidate is available, the head of department/office may select another candidate from the roster or decide to advertise the post in the compendium if no roster candidate is found to be suitable.

10.5 When the selection entails promotion to a higher level, the earliest possible date on which such promotion may become effective shall be the first day of the month following the decision, subject to the availability of the post and the assumption of higher-level functions.

**Section 11**
**Placement authority outside the normal process**

11.1 The Assistant Secretary-General for Human Resources Management shall have the authority to place in a suitable position the following staff members when in need of placement outside the normal process:

(a) Staff members who have not been selected after the maximum post occupancy period has expired and incumbents of posts reclassified upward for which an applicant other than the incumbent has been selected;

(b) Staff who return from mission detail after more than two years when the department responsible for the mission concerned has made every effort to place them;[15] and

(c) Staff affected by abolition of post or funding cutbacks, in accordance with staff rule 109.1 (c).

11.2 After determining the availability of a suitable position in consultation with the head of department/office and the staff member concerned, the Assistant Secretary-General for Human Resources Management shall decide on the placement, in accordance with staff regulation 1.2 (c), and so inform the appropriate central review body.

11.3 To expedite placement of successful candidates on the roster from the National Competitive Examination or G-to-P examinations, the Assistant Secretary-General for Human Resources Management shall have the authority to place those candidates in P-2 posts subject to geographical distribution that, after a period of three months, have not been filled with candidates successful in a competitive examination.

**Section 12**
**Transitional measures**

12.1 The provisions of the present instruction contained in section 4.2 (d), providing for the inclusion in the compendium of encumbered posts whose incumbents reach the maximum post occupancy period, and in section 5.3, defining

[15] Parent departments/offices are responsible for ensuring that the posts of staff who are on mission detail and who hold a permanent or long-term appointment are blocked for the return of these staff members, as currently provided in paragraph 7 of ST/AI/404.

the prior lateral move requirement for promotion to the P-5 level, shall become effective on 1 May 2007.

12.2 The provisions of ST/AI/2002/4, as modified by ST/AI/2005/8, shall continue to govern recruitment, placement and promotion in respect of applications for vacancies advertised before the effective date of the present instruction.

**Section 13**
**Final provisions**

13.1 The present administrative instruction shall enter into force on 1 January 2007.

13.2 Administrative instructions ST/AI/2002/4 of 23 April 2002, entitled "Staff selection system", and ST/AI/2005/8 of 13 July 2005, which amended ST/AI/2002/4, are hereby abolished.

13.3 The provisions of the present administrative instruction shall prevail over any inconsistent provisions contained in other administrative instructions currently in force.

(*Signed*) Christopher B. **Burnham**
Under-Secretary-General for Management

# Annex I

## Responsibilities of the head of department/office

1. The head of department/office has the authority:

(a) To transfer staff laterally within his or her department/office;[a]

(b) To assign staff temporarily to a higher-level post that is vacant or temporarily vacant. For temporary vacancies expected to last for three months or longer, staff of the department/office concerned shall be informed of the temporary vacancy so as to give staff members the opportunity to express their interest in being considered.[b] Every effort must be made to limit temporary assignments to vacant posts to the shortest possible period, during which time the post must be filled under the procedures of this instruction;

(c) To make decisions on the selection of staff when the central review bodies are satisfied that the evaluation criteria were properly applied and/or the applicable procedures followed. When these conditions are not met, the decision is made by the official having authority to act in these matters on behalf of the Secretary-General, in accordance with the provisions of section 5.6 of ST/SGB/2002/6;

(d) To select a roster candidate pre-approved for selection at the 15-, 30- or 60-day mark, without further reference to the central review bodies, on the recommendation of the programme manager, provided that the vacancy has been advertised, the new applications have been reviewed and the roster candidate is suitable for the vacancy.

In exercising his or her authority to select staff, the head of department/office shall select the candidate he or she considers to be best suited for the functions, having taken into account the Organization's human resources objectives and targets as reflected in the departmental human resources action plan, especially with regard to geography and gender, and shall give the fullest regard to candidates already in the service of the Organization. For posts with significant functions in the management of financial, human and physical resources, the head of department/office must obtain the approval required by ST/SGB/2005/7 before making a selection decision under (c) and (d) above. For posts in the Professional and higher categories subject to geographical distribution, if the head of department/office proposes to select an external candidate from an overrepresented Member State, the proposed selection decision must be justified to, and approved by, the Office of Human Resources Management (OHRM) prior to selection of the candidate. If the head of a department/office who has not met the gender targets set out in the departmental action plan proposes to select a male candidate where an equally qualified female

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[a] The Under-Secretary-General for General Assembly Affairs and Conference Services has authority to transfer laterally language staff, including interpreters, translators, editors, verbatim reporters, proofreaders and production editors, up to and including those at the P-5 level, who serve in New York, Geneva, Vienna and Nairobi. This authority may be extended in future to language staff at the Economic Commission for Africa, the Economic Commission for Latin America and the Caribbean, the Economic and Social Commission for Asia and the Pacific and the Economic and Social Commission for Western Asia.

[b] See ST/AI/1999/17 entitled "special post allowance", as may be amended or replaced by a new instruction on the subject.

candidate exists, the proposed selection decision must be justified to, and approved by, OHRM. For vacancies at the P-3 level, prior to selection of an external candidate, that decision must be justified on the record to, and approved by, OHRM.

2. The head of department/office is accountable to the Secretary-General for the manner in which the selection process is conducted in his or her department/office, and for the progress made towards achieving the targets for geography and gender balance set out in the departmental human resources action plan. The head of department/office is also accountable to the Secretary-General through the annual performance management plan. Authority to make a selection decision with respect to a particular vacancy is withdrawn when a central review body finds that the evaluation criteria have not been properly applied and/or the applicable procedures have not been followed and refers the case to the Under-Secretary-General for Management or the Assistant Secretary-General for Human Resources Management.

3. In the discharge of his or her responsibility to deliver mandated programmes and activities, the head of department/office works in close cooperation with the programme managers and other responsible officials in the department/office concerned to ensure that:

(a) Appropriate mechanisms are in place to capitalize on the strengths of the staff and to offer them suitable skills development opportunities;

(b) The candidates best suited for the functions are selected for vacancies in strict compliance with the requirements of the new system, having taken into account the Organization's human resources objectives and targets as reflected in the departmental human resources action plan, especially with regard to geography and gender, and after giving the fullest regard to candidates already in the service of the Organization;

(c) Appropriate mechanisms are in place to preserve institutional capacity, taking into account the mobility requirement for all staff members.

4. The head of department/office is responsible for collaborating with other heads of departments/offices in the same occupational network to support the achievement of human resources management plans and encourage multidisciplinary approaches.

# Annex II

## Responsibilities of the programme manager

1. For vacancies that are not filled laterally from within the department/office and that are expected to last for at least one year, the programme manager, as promptly as possible, and with the assistance of the executive or local personnel office:

(a) Determines whether a generic job profile is available from the database of generic job profiles maintained by the Office of Human Resources Management (OHRM) or, if not, uses an existing individual job description previously classified. If a previously classified individual job description is used and there have been significant changes in the functions of the post since it was last classified, the programme manager obtains a new classification of the individual job description;

(b) Prepares an announcement of the vacancy based on the classified functions of the post;

(c) Prepares evaluation criteria that must be objective and related to the functions of the post and must reflect the relevant competencies, unless a central review body has previously approved the evaluation criteria for a position with similar functions at the same level;

(d) Transmits to OHRM or the local personnel office the text of the vacancy announcement for inclusion in the compendium, together with the text of the proposed evaluation criteria for submission to the appropriate central review body for approval, unless the programme manager indicates that the evaluation will be made on the basis of criteria already approved by a central review body for a similar post. Posts may be advertised immediately after review by OHRM, but the evaluation process may not start until the proposed evaluation criteria have been approved by the appropriate central review body;

(e) Ensures that interviews and/or other appropriate evaluation mechanisms, such as written tests or other assessment exercises, are conducted for appointment and promotion at the 15-, 30- and 60-day marks;

(f) Evaluates, in accordance with section 7 of this instruction, the candidates, including roster candidates, who are eligible to be considered at the 15-, 30- or 60-day mark, on the basis of criteria pre-approved by the central review bodies;

(g) If a roster candidate is suitable for the vacancy, submits to the head of department/office a selection proposal that is reasoned and supported by a documented record and that has taken into account the human resources targets set out in the departmental human resources action plan, especially with regard to geography and gender;

(h) If there is no suitable roster candidate, submits to the central review bodies, through the head of department/office, a selection proposal that is reasoned and supported by a documented record of evaluation of the proposed candidates against the applicable evaluation criteria.

2. Programme managers must start the process early for anticipated vacancies, and as soon as an unanticipated vacancy occurs. To expedite the process, they are encouraged to conduct as many steps as possible quickly and simultaneously.

3. Programme managers propose, through the head of department/office, one candidate or, preferably, a list of qualified, unranked candidates found suitable for the functions. If a central review body finds that the proposed candidates were evaluated on the basis of the pre-approved evaluation criteria and/or that the applicable procedures were followed, the programme manager recommends to the head of department/office selection of one of these candidates, supporting such recommendation by a documented record. Should a candidate recommended for a professional post subject to geographical distribution be an external candidate from an overrepresented country, the documented record must be submitted for approval to OHRM. Should the recommended candidate be a male candidate where an equally qualified female candidate exists and the gender targets set out in the department action plan have not been met, the documented record must be submitted for approval to OHRM. Once a candidate has been selected, the others are placed on a roster of pre-approved candidates. The roster is valid for one year for male candidates after the first of the month following the selection decision, and for three years for female candidates. For P-3 vacancies, should the programme manager recommend the selection of an external candidate, the documented record to substantiate that recommendation must be provided for approval to OHRM prior to selection.

4. Programme managers may delegate the performance of their functions under this instruction to officials who will act under their supervision, in which case programme managers will remain fully accountable to the head of department/office for the manner in which these functions have been discharged.

5. Programme managers must inform all interviewed candidates who have not been selected of their non-selection and/or placement on the roster.

# Annex III

## Responsibilities of the staff member/applicant

1. All staff members are required to move periodically to new positions, organizational units, duty stations[a] or occupational groups.

2. Staff members are expected to review regularly the compendium of vacancies, preferably in its electronic version, to decide on suitable vacancies for which they should apply. This is especially important for staff nearing maximum period of occupancy of the post they encumber.

3. Staff members are reminded that post occupancy limits will be set for each job, initially at five years for posts up to and including the P-5 level, and at six years for posts above that level. Longer or shorter maximum periods may be set by the Office of Human Resources Management (OHRM) in consultation with the relevant head of department/office when the potential for mobility is severely limited due to the nature of the functions or the scarcity of posts.

4. Staff members may apply for a vacancy any time before the deadline for applications expires, but are encouraged to submit their applications as early as possible so that they may be considered at the 15- or 30-day mark, depending on their eligibility as defined in sections 5.4 and 5.5 of this instruction.

5. Applications must be submitted in accordance with section 6 of this instruction.

6. Application for a vacancy carries an undertaking to accept it, if offered.

7. Staff members in the Professional category are expected to keep in mind the mobility requirement contained in section 5.3 of this instruction for promotion to the P-5 level when planning for their career development.

[a] Except for locally recruited staff, for whom movement is limited to the duty station where they have been appointed.

# Annex IV

## Responsibilities of the Office of Human Resources Management, executive offices and local personnel offices

1. The Office of Human Resources Management (OHRM) is responsible and accountable for:

(a) Establishing policies, rules and guidelines for the system and providing authoritative interpretations;

(b) Taking the necessary measures to ensure compliance with applicable procedures throughout the Secretariat, including targeted training of participants in the process and monitoring of that process;

(c) Supporting electronic tools for the system;

(d) Providing information on conditions of service in various duty stations;

(e) Monitoring the operation of the system and identifying improvements or corrective action that may be necessary from time to time;

(f) Setting post occupancy time limits, in consultation with heads of departments/offices;

(g) Establishing a databank of generic job profiles and maintaining a databank of vacancy announcements and pre-approved evaluation criteria;

(h) Reviewing, before inclusion in the compendium, the vacancy announcements submitted by programme managers for vacancies posted from New York to ensure consistency with the generic job profile or the classified job description;

(i) Reviewing, before transmission to the appropriate central review body, the evaluation criteria submitted by programme managers to ensure that these criteria are objective, related to the functions of the post and reflect the relevant competencies. When a programme manager opts to use evaluation criteria previously approved by a central review body for a similar post, OHRM is responsible for ensuring that these criteria are consistent with the vacancy announcement;

(j) Transmitting to the department/office concerned the applications of candidates eligible to be considered at the 15-, 30- and 60-day marks;

(k) Transmitting roster candidates pre-approved for similar functions to the department/office concerned at the 15-, 30- or 60-day mark;

(l) Advising heads of departments/offices, programme managers, central review bodies (as ex officio members of those bodies) and staff members on the proper application of the new system;

(m) Placing on the roster candidates endorsed by the central review bodies who were not selected for the advertised vacancy;

(n) Maintaining the roster of candidates who have been endorsed by a central review body in New York for a particular vacancy but were not selected by the head of department/office for that vacancy;

(o) Exercising authority under section 11 of this instruction for the placement of staff outside the normal process in consultation with heads of departments/offices and the staff member concerned;

(p) Reviewing for approval, proposed selection decisions of heads of departments/offices for an external candidate from an overrepresented Member State, or a male candidate where an equally qualified female candidate exists, and for an external candidate for P-3 vacancies;

(q) Placing successful roster candidates from the National Competitive Examination and G-to-P examinations in P-2 posts subject to geographical distribution that, after a period of three months, have not been filled with candidates successful in a competitive examination.

2. The executive offices at Headquarters are responsible and accountable for:

(a) Assisting programme managers and heads of departments/offices in fulfilling their responsibilities under this instruction;

(b) Requesting approval required by ST/SGB/2005/7 prior to the selection of a candidate by the head of department/office when the post to be filled involves significant functions in the management of financial, human and physical resources;

(c) Informing the selected candidate of the selection decision;

(d) Recording staff movements qualifying as credits for mobility purposes in the Integrated Management Information System data field created for that purpose, subject to approval by OHRM.

3. Local personnel offices at duty stations away from Headquarters are responsible and accountable for:

(a) Performing the tasks for which executive offices at Headquarters are responsible, as set out in paragraph 2 above;

(b) Performing at the duty station the tasks for which OHRM is responsible in New York, as set out in paragraph 1 (h) to (n) above.

United Nations ST/AI/2006/4

Secretariat

27 November 2006

# Administrative instruction

## Official travel

The Under-Secretary-General for Management, pursuant to section 4.2 of the Secretary-General's bulletin ST/SGB/1997/1, and for the purpose of implementing staff rules 107.1, 107.2, 107.3, 107.6, 107.7, 107.8, 107.9, 107.10, 107.13, 107.15, 207.1, 207.2, 207.3, 207.4, 207.5, 207.6, 207.15, 207.16, 207.17, 307.1, 307.2, 307.3 and 307.4, hereby promulgates the following:

### Section 1
### Scope

1.1 The provisions of the present instruction shall apply to official travel of:

(a) Staff members appointed under the 100 and 200 series of the Staff Rules and their eligible family members;

(b) Staff members recruited under staff rule 301.1 (a) (i) on short-term appointments for conference and other short-term service;

(c) Staff members recruited under staff rule 301.1 (a) (ii) on appointments of limited duration, except as otherwise provided in the administrative instruction on appointments of limited duration.

1.2 When travel is authorized for individuals who are not staff members, such as consultants, individual contractors or members of committees, it shall be on the basis of the standards established for staff members by the present instruction, except where otherwise expressly provided.[1]

### Section 2
### Official travel of staff members and their eligible family members

2.1 Official travel may be authorized for staff members in accordance with staff rules 107.1, 207.1 and 307.1 and the conditions specified by the Secretary-General in respect of specific forms of official travel.

[1] The special rules governing payment of travel expenses and subsistence allowances in respect of members of organs and subsidiary organs of the United Nations are contained in ST/SGB/107/Rev.6 of 25 March 1991.

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2.2 Official travel may be authorized for eligible family members of staff appointed under the 100 and 200 series of the Staff Rules in accordance with staff rules 107.2, 107.3 and 207.2 and the conditions specified by the Secretary-General in respect of specific forms of official travel.

**Section 3**
**Authorization for official travel**

3.1 Under staff rules 107.6, 207.4 and 307.2, all official travel must be authorized in writing before it is undertaken. In exceptional cases, staff members may be orally authorized to travel. In such cases, written confirmation shall be required.

3.2 Official travel is further regulated as follows:

(a) Official travel by senior officials at the Under-Secretary-General level and by heads of mission in the field shall be reported to the Executive Office of the Secretary-General on a quarterly basis, using form SG.33. The report shall include the following:

(i) The anticipated dates to be spent away from the duty station for the next three months, including dates of travel;

(ii) The actual dates spent away from the duty station during the previous three months, including dates of travel;

(b) Twice a year, in January and July, the amount of United Nations funds spent on official travel during the preceding six-month period shall be reported to the Executive Office of the Secretary-General. Wherever feasible, Under-Secretaries-General and heads of mission shall inform the local United Nations office or mission of their presence;

(c) To the extent possible, senior officials should avoid attending the same event;

(d) Travel undertaken by senior officials at the Assistant Secretary-General level shall be authorized by their respective heads of department.

**Section 4**
**Standard of accommodation**

4.1 The standard of accommodation for official travel shall be determined in accordance with staff rules 107.10, 207.6 and 307.3, as complemented by the provisions of this section.

4.2 For official travel by air, the standard of accommodation shall be economy class, except as provided in (a)-(d) below:

(a) For the Deputy Secretary-General and, where applicable, his or her eligible family members, first class shall be provided for travel on official business, on appointment or separation, on home leave and family visit, irrespective of the duration of the particular flight;

(b) In order to perform their functions, for staff members in the security detail of the Secretary-General and Deputy Secretary-General, first class shall be provided for required travel;

(c) For Under-Secretaries-General, Assistant Secretaries-General and, where applicable, their eligible family members, the class immediately below first class shall be provided for travel on official business, on appointment, reassignment or separation, on home leave and family visit, irrespective of the duration of the particular flight. However, Under-Secretaries-General and Assistant Secretaries-General designated to represent the Secretary-General on ceremonial occasions or to undertake missions in the exercise of the Secretary-General's good offices under the Charter of the United Nations or resolutions of the General Assembly or the Security Council may, on the approval of the Secretary-General, be provided with first-class travel accommodation, irrespective of the duration of the flight involved;

(d) For staff members below the Assistant Secretary-General level and, where applicable, their eligible family members, the class immediately below first class shall be provided for travel on official business and on appointment, assignment or separation:

(i) When the duration of a journey is nine hours or longer;

(ii) For round-trip travel, when the duration of either journey is nine hours or longer;

(e) For the purposes of subparagraph (d) above, the duration of a particular journey shall be determined on the basis of the combined flying time of all legs of the journey to a given destination by the most direct and economical route available, provided the journey is not interrupted for official stops of more than one day. The flying time shall include scheduled stops for change of planes or other purposes, but shall exclude travel time to and from airports. Up to four hours for connections between flights may be included in the flying time for the particular journey;

(f) When official travel is combined with home leave travel, the standard of accommodation for the official travel legs of the journey shall be established in accordance with these provisions.

4.3 Air travel accommodation under the applicable standards defined by section 4.2 shall be provided at the most economical rate appropriate, including discounted airfares. The Organization shall assume responsibility for the surcharge that may be imposed after tickets have been issued if changes in the original travel plans were necessitated by the Organization or for other compelling reasons. However, where the normal standard of accommodation is unavailable and the cost of daily subsistence allowance while waiting for the next available seat would be greater than the additional cost of the higher standard of travel, an upgrade in travel accommodation is allowable.

4.4 For official travel to missions or conferences, special arrangements may be made for group travel, in which case the provisions of section 4.2 (a)-(d) above may not apply.

4.5 A standard of accommodation for air travel higher than that authorized under normally applicable rules may be approved on an exceptional basis when, in the opinion of the Secretary-General, special circumstances warrant it, such as for duly certified medical reasons. Requests for exceptions shall be submitted in writing to the Under-Secretary-General for Management well in advance of travel. Such requests shall be made using form TTS.3.

4.6 In accordance with staff rules 107.10 (f), 207.6 (b) and 307.3 (b), if a staff member or family member travels by more economical accommodation than the approved standard for the authorized destination, the United Nations shall only pay for accommodation actually used, at the rate paid by the traveller. Use of a more economical fare shall not entitle the staff member to apply any savings to any deviation from the approved itinerary nor to additional stopovers or further transportation. For travel on home leave or family visit, special arrangements may be authorized. The staff member shall be responsible for any delays, penalties or additional expenses incurred as a result of taking a lower fare or making special arrangements.

**Section 5**
**Travel time other than on home leave or family visit**

*Travel time by direct route and normal mode*

5.1 On travel by the most direct and economical route, either by air or by the fastest available surface mode of transportation when air travel is not feasible, actual travel time spent during a working day shall not be charged to annual leave. Neither shall annual leave be charged for a stopover authorized for rest purposes in accordance with section 5.4 (c) below, or for unavoidable stopovers that cannot reasonably be regarded as rest stops.

5.2 A staff member shall not be entitled to additional days of annual leave to compensate for official travel on days considered non-working days at the staff member's duty station.

*Travel time by other than direct route and normal mode*

5.3 Staff members travelling for all or part of a journey by an indirect air route, or wholly or in part by surface when air transportation is the normal mode, or by other than the fastest available surface means of transportation when air travel is not feasible, shall be granted travel time not chargeable to annual leave only for the time that would have been required had the travel been undertaken by the most direct route and normal mode.

*Rest periods and authorized stopovers*

5.4 For travel by air or mostly by air, staff members shall be entitled to rest periods before commencing duties or a stopover for rest purposes as follows:

(a) If the scheduled time for the journey is more than 6 hours but not more than 10 hours, the staff member shall not normally be required to commence duty within 12 hours of arriving at the destination;

(b) If the scheduled time for the journey is more than 10 hours but not more than 16 hours, the staff member shall not normally be required to commence duty within 24 hours of arriving at the destination;

(c) If the scheduled time for the journey is more than 16 hours, the staff member may have one stopover for rest purposes, which shall not exceed 24 hours, at an intermediate point in the journey, with travel subsistence allowance. If the final stage of the journey is more than 6 hours, the staff member shall not normally be required to commence duty within 12 hours of arriving at the destination. As an

alternative to the rest stopover, the staff member may have a rest period not exceeding 24 hours on arriving at the destination;

(d) Rest stopovers shall normally be taken in the course of an air journey. However, a rest stopover may also be taken at the end of the air portion of a journey while awaiting onward travel by another mode of transportation.

5.5 In computing the scheduled time under section 5.4 above, a maximum of four hours shall be allowed for each necessary waiting period between connecting flights.

**Section 6**
**Travel time on home leave or family visit**

6.1 For travel on both the outward and the return journey on home leave or family visit, staff members shall be granted a fixed amount of travel time not chargeable to annual leave, determined on the basis of the most direct flight available as follows:

(a) One day for each journey of less than 10 hours;

(b) Two days for each journey of 10 hours or longer but less than 16 hours; and

(c) Three days for each journey of 16 hours or more.

6.2 The travel time approved in accordance with section 6.1 above shall include any authorized rest period or stopover made by the staff member and the time required for any additional journey to or from:

(a) The place of home leave as established under staff rules 105.3 (d) and 205.2 (c) for travel within the home country; or

(b) The place of entitlement for family visit travel when the place of entitlement is in a country other than the home country.

6.3 The fixed amount of travel time to which staff members are entitled shall be set out in the information circular on official travel issued by the Under-Secretary-General for Management.

6.4 One stopover for rest purposes, which shall not exceed 24 hours, may be authorized at an intermediate point in the journey, with travel subsistence allowance, for journeys of 10 hours or longer for staff members travelling on home leave with children under the age of 12, when they have not availed themselves of the lump-sum option under section 10 below. No stopovers shall be granted in connection with family visit travel or education grant travel.

6.5 An adjustment of up to two additional days, not chargeable to annual leave, may be made if the staff member can show that the actual travel time by the most direct and fastest mode of transportation, including any authorized stopover, exceeds the approved amount of travel time. There shall be no entitlement to travel subsistence allowance for the additional days of travel time.

**Section 7**
**Deviations from the approved route, mode of transportation or standard of accommodation**

7.1 Pursuant to staff rules 107.8 (b), 207.5 (c), 207.6 (b) and 307.3 (d), when staff members are permitted to travel for their personal convenience by a route, mode of transportation or standard of accommodation other than the approved one, their entitlement in respect of a particular journey shall be limited to the maximum travel expenses and travel time to which they would have been entitled had the travel been undertaken by the approved route, mode of transportation and standard of accommodation. The maximum travel expenses shall be calculated on the basis of the most economical airfare by a direct route at the appropriate standard and rate, in accordance with section 4 above.

7.2 Staff members travelling by an indirect route who are otherwise eligible for a stopover shall be entitled to such stopover with appropriate travel subsistence allowance on the basis of travel time by a direct route, provided that the stopover actually made complies with the requirements of sections 5.4 (c) and 6.4 above.

**Section 8**
**Terminal expenses**

8.1 Entitlement to terminal expenses authorized under staff rules 107.13, 207.15 and 307.3 (a) shall be determined as follows:

(a) Terminal expenses incurred for each required trip between the airport or other point of arrival or departure and the hotel or other place of dwelling shall be paid in a fixed amount in respect of the staff member and, where applicable, each eligible family member authorized to travel at United Nations expense. Such fixed amounts, and any reduction applicable when an official United Nations, government or any other type of transport is made available for the trip, shall be set out in the information circular on official travel issued by the Under-Secretary-General for Management;

(b) No terminal expenses shall be paid in respect of:

(i) An intermediate stop that is not authorized; or

(ii) An intermediate stop of less than six hours that does not involve leaving the terminal or is exclusively for the purpose of making an onward connection.

8.2 Terminal expenses paid in accordance with section 8.1 above shall be deemed to cover all expenses for transportation between the airport or other point of arrival or departure and the hotel or other place of dwelling, including transfer of baggage and other related incidental charges.

8.3 Claims for payment of terminal expenses shall be made in accordance with the provisions of section 11 below.

**Section 9**
**Travel advances**

9.1 An advance of 100 per cent may be made to a staff member authorized to travel on official business in respect of the following:

(a) The estimated travel subsistence allowance; and

(b) Terminal expenses under staff rules 107.13, 207.15 and 307.3 (a) on the basis of amounts estimated and certified by the appropriate certifying officer.

No advance shall be made in respect of miscellaneous travel expenses under staff rules 107.19 and 207.19.

9.2 No travel advance shall be made for travel on separation from service.

9.3 An advance of up to 75 per cent of the estimated travel subsistence allowance may be made to individuals who are not staff members, such as consultants, individual contractors or members of committees.

**Section 10**
**Lump-sum option for travel on home leave, family visit or education grant travel and travel on repatriation or separation from service**

10.1 For travel on home leave, family visit or education grant travel and travel on repatriation or separation from service, staff members appointed under the 100 and 200 series of the Staff Rules may opt for a lump-sum payment in lieu of all entitlements related to the particular travel.

10.2 For travel by air and train the lump sum payable under this section shall amount to 75 per cent of the full economy-class fare by the least costly scheduled air carrier between the staff member's duty station and:

(a) The closest airport to the established place of entitlement for home leave or family visit travel; or

(b) The established place of home leave or the educational institution, whichever is the less costly, for education grant travel.

For children entitled to reduced-fare tickets, the lump sum shall be 75 per cent of the applicable reduced fare.

10.3 For travel by car, the lump sum payable under this section shall amount to 20 per cent of the full economy-class fare by the least costly scheduled air carrier.

10.4 By selecting the lump-sum option, a staff member agrees to waive all entitlements relating to home leave, family visit or education grant travel and travel on repatriation on separation from service that would otherwise have been payable, except as provided in section 10.5 below. No additional payment shall be made once the option has been exercised.

10.5 The following entitlements shall not be affected by the exercise of the lump-sum option:

(a) Travel time not chargeable to annual leave shall be granted in accordance with section 6 above;

(b) Compensation under appendix D to the Staff Rules, provided the travel is by a direct route between the staff member's duty station and the established place of home leave, or authorized place of family visit travel, as applicable;

(c) Shipments or removal entitlements for travel on repatriation on separation from service.

10.6 The lump-sum option shall not be available on a partial basis. It must cover both the outward and the return journeys for home leave, family visit or education

grant travel, and all travel related to a particular home leave by the staff member and his or her eligible family members, even when separate home leave travel has been authorized. However, when a staff member's home leave travel is combined with travel on official business, the staff member may exercise the option in respect of his or her eligible family members.

10.7 Once the lump-sum option has been selected, it shall not be possible to revert to the normal travel entitlement for the specific travel.

10.8 The Organization shall not be responsible for delays or additional expenses that may be incurred or liabilities that may arise as a result of the exercise of the lump-sum option. It is the staff member's responsibility to take out appropriate travel cancellation insurance. However, when the exigencies of service make it imperative for the staff member to postpone the home leave or family visit travel for which the lump sum was paid, the Organization shall assume responsibility for surcharges or fees that may be imposed as a result of the ticket changes, but not for any fare increase.

10.9 Staff members who wish to obtain the information necessary for them to decide whether to exercise the lump-sum option shall so inform their executive or administrative office, which will proceed in accordance with the procedures set out in the information circular on official travel issued by the Under-Secretary-General for Management and ensure that the staff member completes part B of form PT.165, "Lump-sum travel".

**Section 11**
**Travel claims**

*General*

11.1 Staff members shall, within two calendar weeks after completion of travel other than under the lump-sum option, submit a completed travel reimbursement claim on form F.10 to their executive or administrative office, in accordance with the instructions set out in that form, including those governing the documentation to be submitted.

11.2 Recovery of travel advances through payroll deduction shall be initiated if a staff member fails to submit a duly completed F.10 form, together with the supporting documentation, within two calendar weeks after completion of travel.

11.3 If, on review of the claim, it is determined that the travel advance exceeded the amount of reimbursable travel expenses, the staff member shall be informed of the amount of overpayment, which shall be recovered through payroll deduction.

*Travel under the lump-sum option*

11.4 Staff members having selected the lump-sum option under section 10 above shall, within two calendar weeks after completion of travel, complete part C of form PT.165 and provide the certification and supporting evidence required in that form.

11.5 The entire amount of the lump sum shall be recovered through payroll deduction if the staff member fails to submit a duly completed PT.165 form and the requested documentation within two calendar weeks after completion of travel.

**Section 12**
**Final provisions**

12.1 The present administrative instruction shall enter into force on 1 January 2007.

12.2 Administrative instructions ST/AI/2000/20, ST/AI/2002/2 and ST/AI/2005/7, of 22 December 2000, 7 February 2002 and 27 June 2005, respectively, are hereby superseded.

(*Signed*) Christopher B. **Burnham**
Under-Secretary-General for Management

United Nations ST/AI/2006/5

Secretariat

24 November 2006

# Administrative instruction

## Excess baggage, shipments and insurance

The Under-Secretary-General for Management, pursuant to section 4.2 of the Secretary-General's bulletin ST/SGB/1997/1, and for the purpose of implementing staff rules 107.21, 107.22, 107.27, 207.20, 207.21, 307.6 and 307.7, hereby promulgates the following:

## I. Excess baggage

### Section 1
### Conditions of entitlement

1.1 Staff members shall be entitled to payment of the cost of accompanied excess baggage, in respect of themselves and their eligible family members in accordance with the provisions of staff rules 107.21 (b), 207.20 (b) and 307.6 (b) for one bag in addition to their free baggage allowance or up to 25 kilograms per traveller.

1.2 Charges for excess baggage beyond the limits provided for in the above-mentioned staff rules and the present instruction shall not be reimbursable unless, in the opinion of the Secretary-General, the circumstances under which the staff member is travelling are of a sufficiently exceptional and compelling nature to warrant such reimbursement.

1.3 When necessary, a cash advance against a staff member's excess baggage entitlement may be authorized at his or her request.

### Section 2
### Conversion of excess baggage to unaccompanied shipment

2.1 Staff members who are entitled under staff rules 107.21 and 207.20 both to accompanied excess baggage and an unaccompanied shipment to the same destination may forgo the excess baggage entitlement for themselves and their eligible family members in return for an increase by an equivalent weight in their entitlement to unaccompanied shipment, whether by air or surface means of transport.

2.2 The provisions in section 2.1 above shall not apply when the baggage allowance for any portion of the journey is calculated by airlines on the basis of pieces and size of baggage.

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**Section 3**
**Conversion to excess baggage of unaccompanied shipment on home leave, family visit or education grant travel**

When a staff member has an entitlement to an unaccompanied shipment of 50 kilograms or 0.31 cubic metres for home leave, family visit or education grant travel under staff rule 107.21 (g) (i) or 207.20 (h) (i), that entitlement may be converted into an additional 10 kilograms of accompanied excess baggage.

**Section 4**
**Claims and requests relating to excess baggage**

Claims for reimbursement of excess baggage charges, requests for a cash advance against an excess baggage entitlement and accounting for the use of such advance, requests for conversion of excess baggage to unaccompanied shipment and for conversion of unaccompanied shipment to excess baggage under the provisions of the present instruction shall be made in accordance with the procedures set out in the information circular on excess baggage, shipments and insurance.

## II. Shipments

**Section 5**
**Shipment entitlements**

5.1 A staff member's shipment entitlements shall be determined in accordance with the provisions of staff rules 107.21, 107.27, 207.20 and 307.6 and the provisions of the present instruction.

5.2 A staff member will be considered to be within his or her entitlement if the shipment does not exceed either the weight or volume allowable under the above-mentioned staff rules.

5.3 If the shipment exceeds both the weight and volume maxima specified in the above-mentioned rules and additional charges are incurred as a result, the charges to be paid by the staff member shall be calculated on the basis of the ratio of the lesser amount of the excess net figure to the total net figure of the weight or volume shipped.

5.4 The entitlement to an unaccompanied shipment on education grant travel for the first outward journey to, and the final return journey from, an educational institution may also be authorized in cases of change of attendance to an educational institution in a different city or locality.

5.5 The entitlements to incoming and outgoing shipments on home leave, family visit and education grant travel may be combined and exercised in whole or in part as either incoming or outgoing shipment provided the total is within the combined entitlement in accordance with the provisions of staff rules 107.21 (g) (iii) and 207.20 (h) (iii).

**Section 6**
**Personal effects and household goods**

6.1 Consistent with staff rules 107.21 (c) and 207.20 (d), the expression "personal effects and household goods" for the purposes of the present instruction shall mean

effects and goods normally required for personal or household use, excluding animals and power-assisted vehicles. However, transportation of privately owned automobiles may be partially reimbursed under the provisions of section 13 of the present instruction.

6.2 Unaccompanied shipment or removal of personal effects and household goods shall be subject to the following conditions:

(a) Flammable and hazardous materials shall in no case be shipped at the expense of the Organization or be included in any shipment that it has arranged;

(b) The personal effects and household goods to be transported must be for the staff member's use or for that of his or her eligible family members;

(c) For removal shipments under staff rule 107.27, the personal effects and household goods must have been in the staff member's possession at the time of his/her appointment, change of duty station or separation, as applicable.

**Section 7**
**Determination of weight or volume maxima**

7.1 The weight or volume maxima of a staff member's shipment entitlements are determined in accordance with the provisions of staff rules 107.21 (f), 107.27 (d) (i), 207.20 (g) and 307.6 (c). When crating or lift vans are not used, but goods are packed into suitcases, cartons or trunks, the total weight or volume of the suitcases, cartons or trunks shall be considered the net weight or volume.

7.2 If the packing company cannot provide a weight or volume figure in net terms, i.e., inclusive only of packing, as well as gross terms, i.e., inclusive also of crating and lift vans, the net weight or volume shall be determined on the basis of two thirds of the gross weight or volume of the shipment. The Organization shall in no case recognize any difference between gross and net weight or volume that exceeds one third of the gross weight or volume. Should the crating exceed one third of the gross weight or volume, the difference shall be considered as part of the net shipment.

**Section 8**
**Reimbursement of costs related to shipment**

Reimbursement of costs related to the shipment shall be in accordance with the provisions of staff rules 107.21 (e), 107.27 (d) (ii), 207.20 (f) and 307.6 (c), as appropriate. The following costs shall not be payable:

(a) Import and export duties;

(b) Delivery from a storage warehouse to the staff member's residence, unless storage at United Nations expense has been authorized.

**Section 9**
**Mode of transportation and conversion to alternative modes**

9.1 Shipment shall be made by the most economical means, as determined by the Secretary-General, in which case the full entitlement provided by the Staff Rules shall apply, regardless of the mode of transportation.

9.2 When surface shipment is the most economical means of transport, conversion to air shipment may be authorized in accordance with the following provisions:

(a) On the basis of one half the weight or volume of the surface entitlement:

(i) The entire surface shipment entitlement under staff rules 107.21, 207.20 and 307.6 may be converted to air freight at the request of the staff member;

(ii) Part of the surface shipment entitlement under staff rules 107.21 and 207.20 may be converted to air freight, provided the Secretary-General determines that such partial conversion is necessary to meet urgent needs. However, no partial conversion shall be authorized for the 50 kilograms or 0.31 cubic metres shipment entitlement on home leave, family visit or education grant travel under staff rules 107.21 (g) (i) and 207.20 (h) (i);

(b) Exceptionally, the surface entitlement under staff rules 107.21, 207.20 and 307.6 may be converted to air freight on the basis of the full weight and volume:

(i) When the Secretary-General determines that there is an extraordinary risk of damage to, or loss of, a surface shipment in transit;

(ii) When a staff member is appointed or assigned to a special mission for a period expected to last six months or longer, and the Secretary-General determines that this is justified by the operational requirements of the mission;

(iii) When the normal shipping time would exceed three months, except for shipments on home leave, family visit or education grant travel under staff rules 107.21 (g) and 207.20 (h);

(c) A portion of up to 10 per cent of the surface entitlement under staff rules 107.21 (i) and 207.20 (j) may be converted to air freight on the basis of full weight or volume on appointment, on assignment of more than one year or on transfer, provided the staff member is appointed, assigned or transferred to a duty station other than a city where the headquarters of the United Nations, a specialized agency or the International Atomic Energy Agency is located. No conversion under this subsection shall be made on separation from service;

(d) If a portion of the surface shipment entitlement is converted to air freight on the basis of full weight and volume under subsection 9.2 (c) above, the remaining surface shipment entitlement may be converted to air freight on the basis of the one-half rule;

(e) When an entitlement to unaccompanied shipment as advance removal of personal effects and household goods has been converted on the basis of the one-half rule, twice the weight or volume of the air shipment shall be deducted from the staff member's removal entitlement under staff rule 107.27.

**Section 10**
**Special entitlements at designated duty stations**

Internationally recruited staff members serving at duty stations designated by the International Civil Service Commission shall have the following special entitlements in accordance with the provisions of the administrative instruction on special entitlements for staff members serving at designated duty stations:[1]

(a) An additional yearly shipment to the duty station in accordance with staff rules 107.21 (k) and 207.20 (k);

(b) An additional 50-kilogram shipment to the duty station in connection with the birth or adoption of an infant;

(c) When exercising their unaccompanied shipment entitlement of 50 kilograms or 0.31 cubic metres on home leave, family visit or education grant travel, or their alternative entitlement to increased accompanied excess baggage under section 3 of the present instruction, internationally recruited staff members serving at designated duty stations may combine the entitlements associated with both legs of the travel into one shipment.

**Section 11**
**Relocation grant (lump-sum option for unaccompanied shipments)**

11.1 On travel on appointment or assignment for one year or longer, transfer or separation from service of a staff member appointed for one year or longer, internationally recruited staff members entitled to unaccompanied shipment under staff rules 107.21, 207.20 or 307.6, as detailed above, may opt for a lump-sum payment in lieu of the entitlement. This lump-sum option shall be known as a "relocation grant".

11.2 The relocation grant shall be determined at rates for staff members with or without a spouse and/or dependent children as set out in a separate information circular.

11.3 The relocation grant is paid: upon appointment; upon each assignment or transfer; or upon separation from service. It is not subject to adjustment afterwards.

11.4 The relocation grant shall not be available on a partial basis. By opting for the relocation grant, a staff member agrees to waive the entitlement to unaccompanied shipment that would otherwise apply.

11.5 No proof on how the relocation grant is used is required. Its use is at the discretion of the staff member, in any manner deemed best to facilitate his/her relocation.

11.6 The Organization is not responsible for any delays in the arrival of personal effects or household goods or additional expenses that may be incurred or liabilities that may arise as a result of opting for the relocation grant. It is the staff member's responsibility to take out appropriate insurance. The Organization will continue to assist staff members in facilitating customs clearance and applicable import/export procedures.

**Section 12**
**Split shipments**

12.1 Shipments shall normally be made in one consignment. However, unaccompanied shipments for appointments of one year or longer under staff rules 107.21 (i) or 207.20 (j), and removal shipments under staff rule 107.27, may be split[2] when the following conditions are met:

(a) The staff member requests the shipment entitlement to be split into no more than two shipments, which must be by surface means when this is the most economical means of transport;

(b) The combined weight or volume of the two shipments does not exceed the total entitlement;

(c) The request for split shipments relates to:

(i) The entire entitlement to unaccompanied shipment or shipment on removal; or

(ii) The remaining portion of the shipment entitlement after the staff member has converted part of the surface entitlement to air freight under section 9.2 (c) of the present instruction; or

(iii) The remaining portion of the removal entitlement after a staff member has received advance shipment on removal under staff rule 107.21 (j).

12.2 Split shipments may be authorized between the following places of departure and destination:

(a) On appointment, assignment or transfer, one of the shipments must be to the initial or new duty station and may be from anywhere;

(b) On appointment, the other shipment may be from the place of recruitment to the place of home leave, or to the place where the staff member's spouse and/or dependent children reside;

(c) On assignment or transfer, the other shipment may be from the previous duty station to the new duty station, to the place of home leave or to the place where the staff member's spouse and/or dependent children reside;

(d) On separation, one of the shipments must be from the duty station, the other may be from anywhere. One of the shipments must be to the place of repatriation; the other may be to a location designated by the staff member, other than within the duty station area.

12.3 Subject to the weight and volume maxima established in staff rules 107.21 (i) or 207.20 (j) and 107.27 (d), the total cost of split shipments to be paid by the United Nations may not exceed the cost of shipping separately the actual weights or volumes of the two consignments between the single places of departure and destination, as authorized under staff rules 107.21 (d) and 207.20 (e).

12.4 In the case of special missions, split shipments may be authorized under terms and conditions established by the Secretary-General for each special mission.

12.5 Requests for split shipments shall normally be made before the staff member's departure or separation from service and not later than two months after arrival at the initial or new duty station or departure from the last duty station in the case of separation. However, where the assignment is for two years or more, the request for split shipments may be made within six months of arrival at the duty station.

**Section 13**
**Transportation of privately owned automobiles**

13.1 The cost of transporting a privately owned automobile to a duty station may be partially reimbursed to staff serving under the 100 series of the Staff Rules on initial appointment or change of duty station to an established office, and to project personnel serving under the 200 series when the following conditions are met:

(a) The appointment or assignment is for a duration expected to be two years or longer. If the initial appointment or assignment was for a lesser period, the request may be made when the initial period is extended to two years or longer;

(b) The staff member is expected to remain at the duty station for a period of not less than 18 months following the date of arrival of the automobile at the port of entry in the country of the duty station. Reimbursement may also be authorized for a newly purchased automobile arriving at a later date if the staff member can show that, at the time it was ordered, he or she was expected to remain at the duty station for a period of not less than 18 months;

(c) The duty station to which the automobile is transported is in a country or territory listed in an information circular issued for that purpose by the Assistant Secretary-General for Human Resources Management;

(d) The staff member is not being provided with an automobile for both official and private use;

(e) Transportation is, in the opinion of the Secretary-General, reasonable in the circumstances. In making such determination in the case of an automobile previously in the possession of the staff member, account will be taken of such factors as the age of the automobile, the potential loss on resale if not transported and the relative price of automobiles in the locality and at the duty station.

13.2 Reimbursement shall not exceed 75 per cent of the total costs of transportation (including freight, insurance and handling charges), subject to a maximum of $1,875. In the case of a new automobile purchased at, and imported to, a duty station in a country or territory listed in the information circular referred to in subparagraph 13.1 (c) above, the demonstrable shipping costs charged by the dealer may likewise be reimbursed, provided that the costs are reasonable in all the circumstances (including place of shipment in relation to nearest source of supply).

13.3 Amounts reimbursed under the present section shall be recovered if the automobile is sold before the end of the appointment or assignment or within three years of its arrival at the duty station, whichever is earlier, unless in the opinion of the Secretary-General the sale is justified by a need to replace the automobile, for example, as a result of wear and tear.

13.4 No reimbursement shall be made for the cost of transporting privately owned automobiles upon separation from service.

**Section 14**
**Storage of personal effects and household goods under rule 107.27 (f)**

14.1 Storage charges of personal effects and household goods under rule 107.27 (f) may be paid, provided that:

(a) The quantity of personal effects and household goods stored does not exceed the difference between the maximum allowance under rule 107.27 (d) (i) and the amount actually shipped under rule 107.21 (i);

(b) The charges do not extend beyond the five-year period following the effective date of the assignment. However, when a staff member's assignment is extended beyond five years for a period of up to two years at the same duty station, storage charges may continue to be paid for the period of such extension.

14.2 The charges to be paid shall include insurance coverage as provided in section 17.3 of the present instruction.

14.3 Storage charges shall not be paid in the case of mission or other assignments not involving a change of official duty station.

**Section 15**
**Shipping arrangements and claims**

In making their shipping arrangements and claims under part II of the present instruction, and in submitting requests for conversion of surface entitlements to air shipments, for split shipments, for transportation of privately owned automobiles or for storage, staff members shall follow the procedures set out in the information circular on excess baggage, shipments and insurance.

## III. Insurance

**Section 16**
**Conditions of entitlement**

16.1 A staff member's insurance entitlements shall be in accordance with staff rules 107.22, 207.21 and 307.7, and the provisions of the present instruction.

16.2 Where storage of personal effects and household goods under rule 107.27 (f) has been authorized, the Organization shall also pay the cost of insurance. Storage insurance related to the shipment while in transit is not included in the insurance entitlement, except when the Secretary-General determines that such storage is directly incidental to the transportation of the consignment.

16.3 In the case of unaccompanied shipments under staff rules 107.21 (h), (i) and (j), 207.20 (i) and (j) and 107.27, the staff member shall furnish the Organization, prior to shipment, with an itemized inventory of all articles, including containers such as suitcases, and the replacement value in United States dollars of each article in the shipments.

**Section 17**
**Maximum insurance entitlements**

17.1 The maximum insurance entitlement for unaccompanied shipments of staff serving under the 100 series of the Staff Rules appointed or assigned for less than one year, project personnel serving under the 200 series in short-term status and staff serving under the 300 series shall be $1,600.

17.2 The maximum insurance entitlement for unaccompanied shipments of staff members under the 100 series appointed or assigned for a year longer and of project personnel under the 200 series in intermediate or long-term status shall be:

(a) $16,000 for the individual staff member or project personnel;

(b) $8,000 for the first eligible family member; and

(c) $4,800 for each additional eligible family member.

17.3 For removal shipments under rule 107.27, inclusive of any advance shipment under rule 107.21 (j), the maximum insurance coverage shall be:

(a) $80,000 for a staff member without a spouse or dependent child; or

(b) $130,000 for a staff member with a spouse or dependent child.

17.4 The maximum insurance entitlement defined in section 17.3 above shall also apply to cover both the personal effects and household goods that may be stored in accordance with staff rule 107.27 (f) and the personal effects and household goods that may be shipped under staff rule 107.21 (i).

17.5 The insurance coverage provided under sections 17.1, 17.2 and 17.3 above shall not include articles of special value for which special premium rates are charged. In such cases the cost above the normal premium for insuring standard items is payable by the staff member even if he or she is within the overall insurance entitlement.

**Section 18**
**Additional insurance coverage requirement**

Staff members who are subject to national income taxation in respect of their United Nations salaries are required to have additional insurance coverage for the difference between the full value and the coverage provided by the United Nations under section 17 of the present instruction for their personal effects and household goods while in transit or in storage.

**Section 19**
**Insurance arrangements and claims**

19.1 In making their insurance arrangements and claims under part III of the present instruction, staff members shall follow the procedures set out in the information circular on excess baggage, shipments and insurance issued by the Assistant Secretary-General for Central Support Services.

19.2 Claims are payable at the rate in effect at the time of settlement.

**Section 20**
**Final provisions**

20.1 The present instruction shall enter into force on 1 January 2007.

20.2 Administrative instruction ST/AI/1999/15 of 23 November 1999 is hereby abolished.

(*Signed*) Christopher B. **Burnham**
Under-Secretary-General for Management

*Notes*

[1] ST/AI/2000/6, as amended by ST/AI/2000/6/Amend.1.

[2] "Split shipments" within the meaning of the present instruction refers to two consignments: (a) originating from one location but destined to two locations; (b) originating from two locations but destined to one location; or (c) originating from two locations and destined to two locations, as authorized under section 11.2.